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**Complete if Known****INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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Sheet 1 of 4

Application Number	10/086,116
Filing Date	2/26/2002
First Named Inventor	Neff, Roy
Art Unit	3691
Examiner Name	Akintola, Olabode

Attorney Docket Number 69174-5

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
A	US- 3573747		4/6/1971	Adams, et al.	
B	US- 5126936		6/30/1992	Champion, et al.	
C	US- 5500793		3/19/1996	Deming, et al.	
D	US- 5592376		1/7/1997	Hodroff	
E	US- 5664115		9/2/1997	Fraser	
F	US- 5852810		12/22/1998	Sotiroff, et al.	
G	US- 5857174		1/5/1999	Dugan	
H	US- 5926793		7/20/1999	DeRafael	
I	US- 6014643		1/11/2000	Minton	
J	US- 6029146		2/22/2000	Hawkins, et al.	
K	US- 6085176		7/4/2000	Woolston	
L	US- 6112189		8/29/2000	Rickard, et al.	
M	US- 6202051-B1		3/13/2001	Woolston	
N	US- 6233566-B1		5/15/2001	Levine, et al.	
O	US- 6236977-B1		3/22/2001	Verba, et al.	
P	US- 6247000-B1		6/12/2001	Hawkins, et al.	
Q	US- 6415320-B1		7/2/2002	Hess, et al.	
R	US- 6493681-B1		12/10/2002	Tertitski, et al.	
S	US- 6505174-B1		1/7/2003	Keiser, et al.	

**FOREIGN PATENT DOCUMENTS**

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		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				
T	WO-9821667		5/22/1998	Garber		
U	WO-0078300		12/28/2000	Cores, et al.		
V	WO-0108065		2/1/2001	Nieboer, et al.		
W	EP-1282053		5/2/2003	Shouken Fund Co., Ltd.		

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Sheet 2 of 4

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		Number-Kind Code <sup>2</sup> (if known)			
X	US- 6594640-B1	7/15/2003	Postrel		
Y	US- 6684196-B1	1/27/2004	Mini, et al.		
Z	US- 6847938-B1	1/25/2005	Moore		
AA	US- 6993511-B2	1/31/2006	Himmelstein		
AB	US- 7039610-B2	5/2/2006	Morano, et al.		
AC	US- 7080050-B1	7/18/2006	Himmelstein		
AD	US- 7133847-B2	11/7/2006	Himmelstein		
AE	US- 7158956-B1	1/2/2007	Himmelstein		
AF	US- 7177833-B1	2/13/2007	Marynowski, et al.		
AG	US- 7305362-B2	12/4/2007	Weber, et al.		
AH	US- 2001/0034663-A1	10/25/2001	Teveler, et al.		
AI	US- 2001/0049651-A1	12/6/2001	Selleck		
AJ	US- 2002/0004759-A1	1/10/2002	Bradford, et al.		
AK	US- 2002/0013750-A1	1/31/2002	Roberts, et al.		
AL	US- 2002/0032643-A1	3/14/2002	Himmelstein		
AM	US- 2002/0038278-A1	3/28/2002	Himmelstein		
AN	US- 2002/0069152-A1	6/6/2003	B.C et al.		
AO	US- 2002/0091611-A1	7/11/2002	Minton		
AP	US- 2003/0014351-A1	1/16/2003	Neff, et al.		

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Sheet	3	of	4
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Sheet

4

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4

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Examiner Name	Akintola, Olabode

Attorney Docket Number

69174-5

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	AX	U.S. Patent Application No. 09/569,135, filed 05/11/2000, "Secure System for Trading Fungible Commodities" (48 pages).	
	AY	U.S. Patent Application No. 09/570,562, filed 05/12/2000, "Method and System for Anonymously and Confidentially Matching Contraparties ... of a Transaction" (38 pages).	
	AZ	"Mathematical Market Model ... Subjectivity", 12/16/1997, reprinted from <a href="http://www.colorado.edu/Economics/courses/econ2020/6550/readings/mathematical-model.html">www.colorado.edu/Economics/courses/econ2020/6550/readings/mathematical-model.html</a> 5/5/2009 (5 pages).	
	BA	"Principal Blind Bidding in Portfolio Trading", Traders Magazine.com, published August 31, 1998, reprinted May 5, 2009 (2 pages).	
	BB	Chapman, P., "CooperNeff's Bid For Blind' Business Quant Shop Using Technology for Growth," Traders Magazine.com, published August 31, 2000, reprinted May 5, 2009 (3 pages).	
	BC	Kavajecz, K., "Packaging Liquidity: Blind Auctions and Liquidity Provision", 2/5/2002, <a href="http://finance.wharton.upenn.edu/~rlwctr/papers/0204.pdf">http://finance.wharton.upenn.edu/~rlwctr/papers/0204.pdf</a> , reprinted 5/5/2009 (43 pages).	

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